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PATENT  
247/PD-5385THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )

Hiroyuki Kinoshita, et al. )

BOX: S.N. ) ✓

Serial No.: 08/808,315 ) ✓

Filed: February 27, 1997 ) ✓

For: SAPPHIRE MONOCRYSTAL, SEMICON- )  
DUCTOR LASER DIODE USING THE SAME FOR ) ✓  
SUBSTRATE, AND METHOD FOR MANUFACTURING )  
THE SAME )

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JUN 19 1997

GROUP 1100

Assistant Commissioner of Patents  
Washington, D.C. 20231TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Dear Sirs:

In accordance with 37 CFR §§ 1.56 and 1.97, enclosed please find a copy of Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

1. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on May 29, 1997.

Roger R. Wise  
Roger R. Wise  
Reg. No. 31,204

5/29/97  
(Date)

- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
2. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b).
3. ☐ The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but *before* the mailing date of either:
- (1) a final action under §1.113 or
  - (2) a notice of allowance under §1.311, whichever occurs first.

#### CERTIFICATION OR FEE

- A. Included with this transmittal is
- i. ☐ a certification (set forth below) in accordance with 37 C.F.R. §1.97(e). (If for any reason the certificate set forth below should be unsatisfactory, the Commissioner is provisionally authorized to charge the \$230 fee (37 C.F.R. §1.17(p)) to Deposit Account No. 19-3725. A duplicate copy of this sheet is enclosed.)

OR

- ii. ☐ the attached fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$230.00).
4. ☐ The information disclosure statement transmitted herewith is being filed *after* a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first, but before, or simultaneously with the payment of the issue fee.

**CERTIFICATION, PETITION AND FEE**

- A. In accordance with the requirements of 37 C.F.R. §1.97(d):
- i. Set forth below is a certification as specified in 37 C.F.R. §1.97(e).
  - ii. Applicant hereby petitions for the consideration of the accompanying information disclosure statement. 37 C.F.R. §1.97(d)(ii).
  - iii. Applicant submits the petition fee set forth in §1.17(i)(1). (\$130.00).

**CERTIFICATION**

(Required if 3Ai or 4 above is marked)

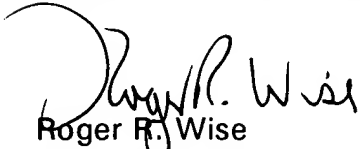
5. I, the person signing below, certify
- ☐ that each item of information contained in the information disclosure statement was cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

6. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 12-1820. A duplicate copy of this petition is enclosed.

Respectfully submitted,

  
Roger R. Wise  
Reg. No. 31,204  
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Date: May 29, 1997